

60 Rec'd PCT/PTO 04 SEP 2001

FORM PTO-1390  
(REV 5-93)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTORNEY DOCKET NO.  
P107359-00002TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

DATE: September 4, 2001

U.S. APPLN. NO.  
(IF KNOWN, SEE 37 C.F.R. 1.5)  
09/868,632INTERNATIONAL APPLICATION NO.  
PCT/JP00/07626INTERNATIONAL FILING DATE  
October 30, 2000PRIORITY DATE CLAIMED  
October 28, 1999

TITLE OF INVENTION: ADVANCED WATER TREATMENT SYSTEM AND ADVANCED WATER TREATMENT METHOD

APPLICANT(S) FOR DO/EO/US: Kazuto HASHIZUME

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.  
(THE BASIC FILING FEE IS ATTACHED)
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures [35 U.S.C. 371(f)] at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper demand for International Preliminary Amendment was made by the 19th month from the earliest claimed priority date.
5. ☐ A copy of the International Application as filed [35 U.S.C. 371(c)(2)]
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English [35 U.S.C. 371(c)(2)].
7. ☐ Amendments to the claims of the International Application under PCT Article 19 [35 U.S.C. 371(c)(3)]
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 [35 U.S.C. 371(c)(3)].
9. ☒ An oath or declaration of the inventor(s) [35 U.S.C. 371(c)(4)].
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 [35 U.S.C. 371(c)(5)].

Items 11 - 16 below concern other document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.
13. ☐ A FIRST preliminary amendment.  
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ Small entity status is claimed.
16. ☒ Other items or information:  
CHECK NO. 324124  
Notification of Missing Requirements

09/04/2001 UEDUVIJE 00000026 09868632

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65.00 DP

IIS APPLIN NO (IF KNOWN) SEE 37 C.F.R. 1.50) 09/868,632	INTERNATIONAL APPLICATION NO. PCT/JP00/07626	ATTORNEY DOCKET NO. P107359-00002 DATE: September 4, 2001
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17. <input type="checkbox"/> The following fees are submitted: <b>Basic National Fee [37 C.F.R. 1.492(a)(1)-(5)]:</b> Search Report has been prepared by the EPO or JPO.....\$860.00 International preliminary examination fee paid to USPTO (37 C.F.R. 1.482).....\$690.00 No international preliminary examination fee paid to USPTO (37 C.F.R. 1.482) but international search fee paid to USPTO [37 C.F.R. 1.445(a)(2)].....\$710.00 Neither international preliminary examination fee (37 C.F.R. 1.482) or international search fee [37 C.F.R. 1.445(a)(2)] paid to USPTO.....\$1,000.00 International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4).....\$ 100.00	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 50%;">CALCULATIONS</th> <th style="width: 50%;">PTO USE ONLY</th> </tr> <tr> <td style="height: 100px;"></td> <td></td> </tr> </table>	CALCULATIONS	PTO USE ONLY		
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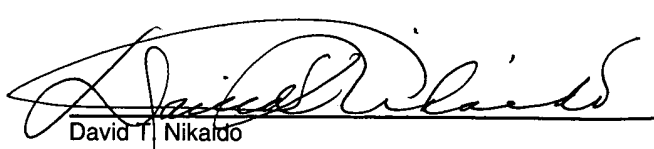
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>						
Surcharge of \$130.00 for furnishing the oath or declaration later than <input checked="" type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date [37 C.F.R. 1.492(e)].					\$ 130.00	
Claims	Number Filed	Number Extra	Rate			
Total Claims	-- - 20 =	0	X \$ 18.00	\$		
Independent Claims	-- - 3 =	0	X \$ 80.00	\$		
Multiple dependent claim(s) (if applicable)			+ \$270.00	\$		
<b>TOTAL OF ABOVE CALCULATIONS =</b>					\$ 130.00	
Reduction by one-half for filing by small entity, if applicable. Verified Small Entity statement must also be filed. (Note 37 C.F.R. 1.9, 1.27, 1.28).					\$ 65.00	
<b>SUBTOTAL =</b>					\$ 65.00	
Processing fee of \$130.00 for furnishing the English translation later the <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date [37 C.F.R. 1.492(f)].					\$	
<b>TOTAL NATIONAL FEE =</b>					\$ 65.00	
Fee for recording the enclosed assignment [37 C.F.R. 1.21(h)]. The assignment must be accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property					\$	
<b>TOTAL FEES ENCLOSED =</b>					\$ 65.00	
					Amount to be refunded	\$
					Charged	\$

a. ☒ A check in the amount of \$65.00 to cover the above fees is enclosed.  
 b. ☐ Please charge my Deposit Account No. 01-2300 in the amount of \$            to cover the above fee.  
     A duplicate copy of this sheet is enclosed.  
 c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to  
     Deposit Account No. 01-2300.

NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive  
 [37 C.F.R. 1.137(a) or (b)] must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:  
**Customer No. 004372**  
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 David T. Nikaldo  
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## UNITED STATES PATENT AND TRADEMARK OFFICE

CPI

09/868,632

HASHIZUME

Commissioner for Patents, Box PCT  
United States Patent and Trademark Office  
Washington, D.C. 20231

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PCT/JP00/07626

U.S. APPLICATION NO.

FIRST NAMED APPLICANT

ATTY. DOCKET NO.

004372

5611

ARENT FOX KINTNER PLOTKIN & KAHN  
1050 CONNECTICUT AVENUE, N.W.  
SUITE 600  
WASHINGTON DC 20036

INTERNATIONAL APPLICATION NO.

I.A. FILING DATE

PRIORITY DATE

07/27/01

DATE MAILED

**NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as

- ☒ a Designated Office (37 CFR 1.494) ☐ an Elected Office (37 CFR 1.495):
- ☒ U.S. Basic National Fee. ☒ Indication of Small Entity Status.
- ☒ Copy of the international application. ☐ Translation of the international application into English.
- ☐ Oath or Declaration of inventors(s). ☐ Translation of Article 19 amendments into English.
- ☐ Copy of Article 19 amendments. ☐ Other:
- ☒ Priority Document.
- ☐ The International Preliminary Examination Report in English and its Annexes, if any.
- ☐ Translation of Annexes to the International Preliminary Examination Report into English.

**Received****JUL 30 2001****Arent Fox**2. ☒ Applicant has requested early processing under 35 U.S.C. 371(f) but has not filed the following indicated items and/or the indicated items in paragraph 3 below. The Basic National Fee and the copy of the international application must be filed prior to 20 or 30 months from the priority date to avoid abandonment.

- ☐ U.S. Basic National Fee. ☐ Copy of the international application.

3. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- ☐ a. Translation of the application into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.
- ☐ The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.
- ☐ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).
- ☒ c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), properly identifying the application (preferably by the International application number and international filing date). A surcharge will be required if submitted later than the appropriate 20 or 30 months from the priority date.
- ☐ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
- ☒ d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).

4. Additional claim fees of \$ \_\_\_\_\_ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.5. ☐ Applicant has not submitted the required sequence listing pursuant to 37 CFR 1.821-1.825. See attached PCT/DO/EO/920.**ALL OF THE ITEMS SET FORTH IN 3(a)-3(d), 4 AND 5 ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 22 OR 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

6. If box 3a or 3c is checked, a translation of the Annexes **MUST** be submitted no later than the time period set above or the Annexes will be cancelled. A processing fee will be required if submitted later than 20 or 30 months from the priority date.
7. ☐ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

**A copy of this notice MUST be returned with this response.**Enclosed: ☐ PCT/DO/EO/917  
☐ PTO-875☐ Notice of Defective Translation  
☐ PCT/DO/EO/920

Lamont Hunter, Paralegal

Telephone: 703 305-3686

FORM PCT/DO/EO/905 (March 2001)